



3738

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicants: Clifton A. Alferness, John M. Adams, and John Melmoth Power
Serial No.: 09/855,945
Filing Date: May 14, 2001
Title: MITRAL VALVE THERAPY DEVICE, SYSTEM AND METHOD
Examiner/Unit: Hieu Phan / 3738
Attorney Docket No.: 1931-2

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In compliance with 37 CFR § 1.56 and § 1.97, Applicants acting by and through the attorney of record, hereby discloses patents and other documents listed on the attached Form PTO-1449 which may be considered relevant to the examination of the subject application.

Copies of the documents are enclosed.

Certification Under Section 1.97(e)

The undersigned hereby certifies that this information was not known to individuals associated with the filing or prosecution of the subject patent application in accordance with Section 1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP

A handwritten signature in black ink, appearing to read "Richard O. Gray, Jr.", is written over the printed name.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

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Attorney Docket Number

Complete if Known

Application Number

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Filing Date

05/14/01

First Named Inventor

Clifton A. Alferness

Group Art Unit

3738

Examiner Name

Hieu Phan

Attorney Docket Number

1931-2

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

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